

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Koslov, Tara I

Chief of Staff, Federal Trade Commission

Date of Appointment: 06/24/2018

Other Federal Government Positions Held During the Preceding 12 Months:

Interim Chief of Staff (5/2018 - 6/2018)

Acting Director, Office of Policy Planning (6/2016 - 4/2018)

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Koslov, Tara I [electronically signed on 08/24/18 by Koslov, Tara I in Integrity.gov] -Filer received a 30 day filing extension.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ White, Christian S, Certifying Official [electronically signed on 10/02/18 by White, Christian S. in Integrity.gov]

Other review conducted by

/s/ Pankey, Lorilei L, Ethics Official [electronically signed on 10/02/18 by Pankey, Lorilei L in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 10/02/2018

Data Revised 09/28/2018

Data Revised 09/24/2018

Data Revised 09/18/2018

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	NextStop Theatre Company	Herndon, Virginia	Non-Profit	Vice President, Board of Directors	9/2013	Present
2	TheatreMcLean Boosters Association	McLean, Virginia	Non-Profit	Board Member	9/2016	Present
3	Family Trust	McLean, Virginia	Trust	Trustee	9/2008	Present

2. Filer's Employment Assets & Income and Retirement Accounts

None

3. Filer's Employment Agreements and Arrangements

None

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

None

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	AARP Foundation	N/A			
2	AARP Employees 401(K) plan				
2.1	T Rowe Price Retire 2035 Tr F RRTPX	Yes	\$50,001 - \$100,000	salary, bonus	None (or less than \$200)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account (cash) #1	N/A	\$15,001 - \$50,000	None (or less than \$201)	
2	NY 529 plan	Yes	\$15,001 - \$50,000	\$1,001 - \$2,500	
2.1	NY 529 Plan Moderate Aggressive Portfolio	N/A	\$15,001 - \$50,000	\$201 - \$1,000	
3	U.S. bank certificates of deposit				
4	Family Trust Account #1				
4.1	U.S. bank account (cash) #2	N/A	\$1,001 - \$15,000	Interest	
4.2	CLEARBRIDGE TACTICAL DIVIDEND INCOME CL C (SMDIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
4.3	WESTERN ASSET INTERMEDIATE TERM MUN CL C (SMILX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	
4.4	VIRTUS NEWFLEET MULTI SECTOR SHORT TERM BOND CL C (PSTCX)	Yes	\$1,001 - \$15,000	\$201 - \$1,000	
5	Family Trust Account #2				
5.1	U.S. bank account (cash) #3	N/A	\$1,001 - \$15,000	None (or less than \$201)	
5.2	MULTI MANAGER VALUE STRATEGIES CL Z (CZMVX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	
5.3	MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z (CTRZX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	
5.4	MULTI MANAGER SMALL CAP EQUITY STRATEGIES CL Z (CZMSX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
5.5	MULTI MANAGER GROWTH STRATEGIES CL Z (CZMGX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
5.6	JPMORGAN TAX AWARE EQUITY CL I (JPDEX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	
5.7	JPMORGAN LARGE CAP GROWTH CL I (SEEGX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	
5.8	WESTERN ASSET INTERMEDIATE TERM MUN CL I (SBTYX)	Yes	\$15,001 - \$50,000	\$1,001 - \$2,500	
5.9	MF5 INTL VALUE CL I (MGIAX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	
5.10	MFS VALUE CL I (MEIX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	
5.11	MFS MUNICIPAL HIGH INCOME CL I (MMIIIX)	Yes	\$1,001 - \$15,000	\$201 - \$1,000	
5.12	NUVEEN INTERM DURATION MUN BOND CL I (NUVBX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	
5.13	OPPENHEIMER INTL GROWTH CL Y (OIGYX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	
5.14	WELLS FARGO EMERGING MARKETS EQUITY INSTL CL (W5BIX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	
5.15	WELLS FARGO SHORT TERM MUN BOND INSTL CL (W5BIX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	
5.16	ISHARES CORE S&P MID CAP ETF (IJH)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	
5.17	ISHARES MSCI EAFFE VALUE ETF (EFV)	Yes	\$1,001 - \$15,000	\$201 - \$1,000	
6	Filer Rollover IRA				
6.1	DREYFUS GOVT CASH MGMT FDS INSTL SHS 289 (DGcxx)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
6.2	INVESCO BALANCED RISK COMMODITY STRAT CL Y (BCRYX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
6.3	JOHN HANCOCK CLASSIC VALUE CL I (CVIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
6.4	JOHN HANCOCK U'S GLOBAL LEADERS GROWTH CL I (USLIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	

#	DESCRIPTION	ELF	VALUE	INCOME TYPE	INCOME AMOUNT
6.5	JANUS HENDERSON GLOBAL VALUE CL I (JPPIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
6.6	JANUS HENDERSON U S MANAGED VOLATILITY CL I (JRSPX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
6.7	JOHN HANCOCK STRATEGIC INCOME OPPORTUNITY CL I (JPIIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
6.8	8RANDYWIN GLOBAL GLOBAL UNCONSTRAINED BOND CL I (LROIIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
6.9	NUVEEN NWQ INT'L VALUE CL I (NGRRRX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
6.10	OPPENHEIMER GLOBAL FOCUS CL Y (GLVYX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
6.11	PRINCIPAL GLOBAL REAL ESTATE SECURITIES INSTL CL (POSX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
6.12	WELLS FARGO C&8 MID CAP VALUE INSTL CL (CBMSX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
6.13	WELLS FARGO INT'L VALUE INSTL CL (WFVIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
7	Filer Roth IRA				
7.1	VANGUARD U S GROWTH INVESTOR CL (VWUSX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
8	Spouse IRA #1				
8.1	DREYFUS GOVT CASH MGMT FDS INSTL SHS 289 (DGcxx)	Yes	\$1,001 - \$15,000	\$201 - \$1,000	\$201 - \$1,000
8.2	BLACKROCK STRATEGIC INCOME OPPORTUNITY INSTL CL (BSIX)	Yes	\$15,001 - \$50,000	\$1,001 - \$2,500	\$1,001 - \$2,500
8.3	MULTI MANAGER VALUE STRATEGIES CL Z (CZMVX)	Yes	\$100,001 - \$250,000	\$2,501 - \$5,000	\$2,501 - \$5,000
8.4	MULTI MANAGER TOTAL RETURN BOND STRATEGIES CL Z (CTRZX)	Yes	\$100,001 - \$250,000	\$5,001 - \$15,000	\$5,001 - \$15,000
8.5	MULTI MANAGER SMALL CAP EQUITY STRATEGIES CL Z (CZMGX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	None (or less than \$201)
8.6	MULTI MANAGER GROWTH STRATEGIES CL Z (CMIEX)	Yes	\$50,001 - \$100,000	\$201 - \$1,000	\$201 - \$1,000
8.7	DELAWARE U S GROWTH INSTL CL (DEUIX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	None (or less than \$201)
8.8	MF5 INT'L VALUE CL I (MINIX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	\$201 - \$1,000
8.9	MFS VALUE CL I (MEIX)	Yes	\$15,001 - \$50,000	\$1,001 - \$2,500	\$1,001 - \$2,500
8.10	PGIM JENNISON MID CAP GROWTH CL Z (PEGZX)	Yes	\$15,001 - \$50,000	None (or less than \$201)	None (or less than \$201)
8.11	WELLS FARGO EMERGING MARKETS EQUITY INSTL CL (EMGNX)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	\$201 - \$1,000
8.12	WELLS FARGO SPECIAL MID CAP VALUE INSTL CL (WFMix)	Yes	\$15,001 - \$50,000	\$201 - \$1,000	\$201 - \$1,000
8.13	ISHARES CORE MSCI EMERGING MARKETS ETF (IEMG)	Yes	\$1,001 - \$15,000	\$201 - \$1,000	\$201 - \$1,000
8.14	MULTI MANAGER DIRECTIONAL ALTERNATIVE STRATEGIES CL Z (CDAZX)	Yes	None (or less than \$1,001)	None (or less than \$1,001)	None (or less than \$1,001)
8.15	OPPENHEIMER INT'L GROWTH CL Y (OIGYX)	Yes	None (or less than \$1,001)	None (or less than \$1,001)	None (or less than \$1,001)
8.16					

#	DESCRIPTION	ELF	VALUE	INCOME TYPE	INCOME AMOUNT
8.17	ISHARES MSCI EAFA VALUE ETF (EFV)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9	Spouse IRA #2	Yes	\$15,001 - \$50,000		
9.1	DREYFUS GOVT CASH MGMT FDS INSTL SHS 289 (DGCXX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
9.2	INVESCO BALANCED RISK COMMODITY STRAT CL Y (BRCYX)	Yes	\$15,001 - \$50,000		
9.3	JOHN HANCOCK CLASSIC VALUE CL I (CVIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.4	JOHN HANCOCK U S GLOBAL LEADERS GROWTH CL I (USLIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.5	JANUS HENDERSON GLOBAL VALUE CL I (JPPIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.6	JANUS HENDERSON U S MANAGED VOLATILITY CL I (JRSLX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.7	JOHN HANCOCK STRATEGIC INCOME OPPORTYS CL I (JPIIX)	Yes	\$1,001 - \$15,000		
9.8	BRANDYWINEGLOBAL GLOBAL UNCONSTRAINED BOND CL I (LROIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.9	NUVEEN NWQ INTL VALUE CL I (NGRRX)	Yes	\$1,001 - \$15,000		
9.10	OPPENHEIMER GLOBAL FOCUS CL Y (GLVYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.11	PRINCIPAL GLOBAL REAL ESTATE SECURITIES INSTL CL (POSIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.12	WELLS FARGO C&B MID CAP VALUE INSTL CL (CBMSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.13	WELLS FARGO INTL VALUE INSTL CL (WFVIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.14	ISHARES 20+ YR TREASURY BOND ETF (TLT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.15	ISHARES 7-10YR TREASURY BOND ETF (IEF)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.16	ISHARES CORE MSCI EMERGING MARKETS ETF (IEMG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.17	ISHARES MSCI JAPAN ETF NEW (EWJ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.18	ISHARES CURRENCY HEDGED MSCI EUROZONE ETF (HEZU)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.19	VANGUARD ENERGY ETF (VDE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.20	VANGUARD SHORT TERM CORP BOND ETF (VCSH)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.21	VANGUARD MORTGAGE BACKED SECURITIES ETF (VMBS)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.22	VANGUARD SMALL CAP VALUE ETF (VBR)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.23	X TRACKERS MSCI JAPAN HEDGED EQUITY ETF (DBJP)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.24	VANGUARD VALUE ETF (VTV)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10	Filer RiverSource Variable Universal Life IV Insurance VP Mod Aggressive Cl4	No	\$50,001 - \$100,000		None (or less than \$201)
10.1	Columbia VP Contrarian Core Fund (LCCAAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.1.1	Columbia VP Disciplined Core Fund (AQEAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10.1.2	Columbia VP Large Cap Growth Fund (GEGTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.1.4	Columbia VP Select Large Cap Value Fund (SLVAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.5	Columbia VP Select Large Cap Value Fund (SLVAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.6	CTIVP Loomis Sayles Growth Fund (LGRNX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.7	CTIVP Los Angeles Capital Large Cap Growth Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.8	CTIVP MFS Blended Research Core Equity Fund (MUEAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.9	CTIVP MFS Value Fund (MEIAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.10	CTIVP Morgan Stanley Advantage Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.11	CTIVP T. Rowe Price Large Cap Value Fund (TILCX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.12	Columbia VP U.S. Equities Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.13	VP Partners Small Cap Growth Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.14	VP Partners Small Cap Value Fund (5CAPX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.15	Columbia VP Overseas Core Fund (COSAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.16	CTIVP AQR International Core Equity Fund (AQIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.17	CTIVP DFA International Value Fund (DFTVX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.18	CTIVP Lazard International Equity Advantage Fund (LZIEX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.19	CTIVP Oppenheimer International Growth Fund (OIGAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.20	CTIVP CenterSquare Real Estate Fund (MRESX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.21	Columbia VP Commodity Strategy Fund (CC5AX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.22	Columbia VP Intermediate Bond Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.23	CTIVP American Century Diversified Bond Fund (ADFAK)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.24	CTIVP TCW Core Plus Bond Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.25	VP Partners Core Bond Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.1.26	Tactical Equity & Fixed Income Exposure (Liquid, cash)	N/A	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
10.2	Fixed Account	N/A	\$1,001 - \$15,000	N/A	None (or less than \$201)
11	Fitter RiverSource Multi-Index Universal Life Insurance	N/A	\$1,001 - \$15,000	N/A	None (or less than \$201)
11.1	Fixed Account	N/A	\$1,001 - \$15,000	N/A	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.2	S&P 500 1YR PTP	Yes	\$1,001 - \$15,000	None (or less than \$201)	
11.3	S&P 500 2YR PTP	Yes	\$1,001 - \$15,000	None (or less than \$201)	
11.4	GLOBAL MULTI 1YR PTP	Yes	\$1,001 - \$15,000	None (or less than \$201)	
11.5	GLOBAL MULTI 2YR PTP	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12	Spouse RiverSource Variable Universal Life IV Insurance	No	\$50,001 - \$100,000	None (or less than \$201)	
12.1	VP Mod Aggressive CI4	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.1	Columbia VP Contrarian Core Fund (LCCAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.2	Columbia VP Disciplined Core Fund (AQEAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.3	Columbia VP Large Cap Growth Fund (GEGTX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.4	Columbia VP Select Large Cap Value Fund (SLVAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.5	CTIVP Loomis Sayles Growth Fund (LGRNX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.6	CTIVP Los Angeles Capital Large Cap Growth Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.7	CTIVP MFS Blended Research Core Equity Fund (MUFEX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.8	CTIVP MFS Value Fund (MEIAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.9	CTIVP Morgan Stanley Advantage Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.10	CTIVP T. Rowe Price Large Cap Value Fund (TILCX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.11	Columbia VP U.S. Equities Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.12	CTIVP Westfield Mid Cap Growth Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.13	VP Partners Small Cap Growth Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.14	VP Partners Small Cap Value Fund (SCAPX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.15	Columbia VP Emerging Markets Fund (UMEMX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.16	Columbia VP Overseas Core Fund (COSAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.17	CTIVP AQR International Core Equity Fund (AQIX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.18	CTIVP DFA International Value Fund (DFIVX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.19	CTIVP Lazard International Equity Advantage Fund (LZIEX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	
12.1.20	CTIVP Oppenheimer International Growth Fund (OIGAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.1.21	CTIVP CenterSquare Real Estate Fund (MRESX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
12.1.22	Columbia VP Commodity Strategy Fund (CCSAX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
12.1.23	Columbia VP Intermediate Bond Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
12.1.24	CTIVP American Century Diversified Bond Fund (ADFAZ)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
12.1.25	CTIVP TCW Core Plus Bond Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
12.1.26	VP Partners Core Bond Fund	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
12.1.27	Columbia VP Limited Duration Credit Fund (ALDAX)	N/A	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
12.1.28	Columbia VP U.S. Government Mortgage Fund (RSGYX)	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
12.1.29	Tactical Equity & Fixed Income Exposure (liquid, cash)	N/A	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
13	Spouse RiverSource Multi-Index Universal Life Insurance	N/A	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
13.1	Fixed Account	N/A	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
13.2	S&P 500 1YR PTP	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
13.3	S&P 500 2YR PTP	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
13.4	GLOBAL MULTI 1YR PTP	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)
13.5	GLOBAL MULTI 2YR PTP	Yes	\$1,001 - \$15,000	None (or less than \$201)	None (or less than \$201)

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

None

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period

- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the District of Columbia, state, or local government; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act System of Records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW, Washington, DC 20005-3917.

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